

**HONOLULU AUTHORITY FOR RAPID  
TRANSPORTATION**

**HONOLULU RAIL TRANSIT PROJECT**

**INDEPENDENT FINANCIAL AUDITOR  
“II” CONTRACT**

**REQUEST FOR PROPOSALS**

**RFP-HRT-918006**

**OCTOBER 26, 2015**

**QUESTIONS RELATING TO THIS SOLICITATION, CONTACT:**

**[transitmailbox@honolulu.gov](mailto:transitmailbox@honolulu.gov)**

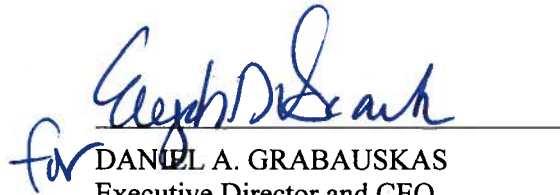
**HONOLULU AUTHORITY FOR RAPID TRANSPORTATION**

**NOTICE OF REQUEST FOR PROPOSALS  
FOR  
HONOLULU RAIL TRANSIT PROJECT  
INDEPENDENT FINANCIAL AUDITOR "II" CONTRACT  
RFP-HRT-918006**

This procurement is being conducted in accordance with Hawaii Revised Statutes Section 103D-303 and Hawaii Administrative Rules Chapter 3-122, Subchapter 6.

Sealed proposals shall be submitted by no later than 2:00 p.m. Hawaii Standard Time (HST) on December 1, 2015, addressed to the Honolulu Authority for Rapid Transportation Chief Procurement Officer, 1099 Alakea Street, Suite 1700, Honolulu, Hawaii, 96813, Attn: Procurement Division.

Because the Honolulu Rail Transit Project is being funded with Federal assistance, the selected offeror shall comply with all applicable Federal Transit Administration requirements.

A handwritten signature in blue ink, appearing to read "for Daniel A. Grabauskas", is written over a horizontal line.

DANIEL A. GRABAUSKAS  
Executive Director and CEO  
Honolulu Authority for Rapid Transportation

## INSTRUCTIONS TO OFFERORS

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## **INSTRUCTIONS TO OFFERORS**

### **1.0 OVERVIEW**

The Honolulu Authority for Rapid Transportation (“HART”) is a semi-autonomous agency of the City and County of Honolulu (“City”), created pursuant to an amendment to the Revised Charter of the City and County of Honolulu 1973 (“RCH”) to develop, operate, and maintain the Honolulu Rail Transit Project (“HRTTP”). Pursuant to Section 17-111 of the RCH, the accounts and financial status of HART shall be examined annually by a certified public accountant. The results of such examination shall be reported to the HART Board of Directors, the City Council and the Mayor. Accordingly, HART is issuing this Request for Proposals (“RFP”) to seek competitive sealed proposals from offerors that are interested in providing independent auditing services which comply with the requirements of the RCH.

### **1.1 HRTTP Description**

The HRTTP will provide high-capacity rapid transit service in the travel corridor between East Kapolei and Ala Moana Center. This corridor includes the majority of housing and employment on O’ahu. The north-south width of the corridor is a maximum of four (4) miles, with the corridor constrained by the Ko’olau and Wai’anae Mountain Ranges to the north and the Pacific Ocean to the south.

The HRTTP is identified in the Final Environmental Impact Statement (“FEIS”) as the design, construction and operation of a twenty (20) mile grade-separated fixed guideway transit system between East Kapolei and Ala Moana Center. All parts of the guideway will be elevated, except near Leeward Community College where it will be at-grade. The system will incorporate steel wheel on steel rail technology. The HRTTP includes twenty-one (21) stations, one (1) Maintenance and Storage Facility (MSF), and eighty (80) light metro vehicles and associated core systems.

The FEIS was released in June 2010 and a Final Supplemental EIS and Amended Record of Decision (ROD) were released in September 2013. The FEIS and additional information on the HRTTP can be found at: <http://honolulutransit.org>.

### **1.2 Independent Financial Auditor “II” Contract Description**

The work performed under the contract will be under the direction of HART Board’s Government Affairs/Audit/Legal Matters Committee Chair or his/her designee. The selected contractor may be required to perform a variety of financial auditing services, including conducting financial audits of HART’s transactions accounts and books for fiscal years ending June 30, 2016, June 30, 2017, June 30, 2018, and June 30, 2019, and conducting an examination of the systems and procedures for accounting, reporting, and operational and internal controls of HART.

### **1.3 Solicitation Timetable**

The following solicitation timetable will be used for this RFP:

ACTIVITY	DATE
Issue RFP	October 26, 2015
Deadline for Clarification Requests	November 9, 2015
Issue Final Addendum	November 17, 2015
Proposal Due Date	December 1, 2015 at 2:00 p.m. HST
Award of Contract (Tentative)	January 20, 2015
Notice to Proceed (Tentative)	February 19, 2015

Any changes to the dates in the above timetable will be made by HART by written addendum.

### **2.0 TERM OF THE CONTRACT**

The term of this Contract shall be for four (4) years commencing from the issuance of the Notice to Proceed (“NTP”).

### **3.0 COMMUNICATIONS**

#### **3.1 Inquiries and Requests for Clarification**

All inquiries and requests for clarification regarding this RFP shall be submitted to the Transit Mailbox at the following email address: [transitmailbox@honolulu.gov](mailto:transitmailbox@honolulu.gov) by no later than the deadline set forth above. All correspondence shall refer to the appropriate RFP number, page number, and section number. See Exhibit 1. Oral interpretations or clarifications will be without legal effect. Only answers to questions issued by a formal written addendum shall be binding on HART. Offerors may not contact HART officials, employees, Board members, or representatives concerning this RFP while the solicitation process is in progress.

#### **3.2 Rules of Contact**

Offerors may not contact HART officials, Board members, employees or representatives concerning this RFP while the solicitation process is in progress. The solicitation process begins when the RFP is issued and will be completed with the Award of the Contract. Any contact determined to be improper, at the sole discretion of HART, may result in disqualification.

### **4.0 PROCUREMENT PROCESS**

#### **4.1 Addenda**

As it deems necessary, HART will issue responses to inquiries or corrections/amendments by way of written addenda issued prior to the Proposal Due Date. Additional background material or modifications to RFP requirements, where necessary, will be communicated to all offerors by written addenda issued by HART.

## **4.2 Modification or Withdrawal of Proposals**

Proposals submitted pursuant to this RFP may be modified or withdrawn prior to the Proposal Due Date in accordance with HAR §3-122-16.07.

## **4.3 Receipt and Registration of Proposals**

In accordance with HAR § 3-122-51, proposals and any modifications thereto will be time-stamped upon receipt and held in a secure place by HART until the Proposal Due Date. Proposals and modifications will not be opened publicly, but will be opened in the presence of two or more HART officials. Prior to Contract award, proposals will be shown only to members of the evaluation committee and HART personnel or their designees having legitimate interest in them.

## **4.4 Proposal Confidential During Solicitation Process**

HART will maintain a confidential process for the duration of this solicitation. All records related to this procurement, including, but not limited to, proposals, evaluations, priority list procedures, price proposals, evaluation and selection procedures, and records during the evaluation and selection process, will remain confidential until the Contract award has been posted by HART in accordance with HAR §3-122-9.01.

## **4.5 Proposals Property of HART**

Proposals will become the property of HART. Copies of each proposal will be retained by HART after the proposal evaluation process.

## **4.6 Priority List**

In accordance with HRS § 103D-303 and HAR § 3-122-53, a priority list will be established consisting of up to three offerors. If more than three acceptable or potentially acceptable proposals have been submitted, the priority list will be limited through evaluation and ranking to the offerors who submitted the highest-ranked proposals.

## **4.7 Discussions with Offerors**

If discussions with offerors are required to make a selection, they will be conducted in accordance with HAR § 3-122-53.

## **4.8 Best and Final Offers**

If required, best and final offers will be accepted in accordance with HAR § 3-122-54.

## **4.9 Rejection of Proposals; Waiver of Informalities and Minor Irregularities**

Proposals may be rejected in accordance with HAR § 3-122-97. Furthermore, HART may:

- a) Reject any or all proposals if such action is in the public interest; and

- b) Waive informalities and minor irregularities in proposals received.

#### **4.10 Basis of Award**

The basis of award of the contract will be the “best value” in accordance with the evaluation criteria set forth herein.

#### **4.11 Verification of Responsibility of Offeror**

The successful offeror shall, within three (3) business days of notification of contract award furnish proof of compliance with the requirements of HRS §103D-310(c):

- HRS Chapter 237, tax clearance;
- HRS Chapter 383, unemployment insurance;
- HRS Chapter 386, workers’ compensation;
- HRS Chapter 392, temporary disability insurance;
- HRS Chapter 393, prepaid health care; and
- One of the following:
  - (a) Registered and incorporated or organized under the laws of the State of Hawaii, hereafter referred to as a “Hawaii business”; or
  - (b) Registered to do business in the State of Hawaii, hereinafter referred to as a “compliant non-Hawaii business.”

Vendors may choose to use the Hawaii Compliance Express (HCE), which allows businesses to register online at <http://vendors.ehawaii.gov> to acquire a single, printable electronic “Certificate of Vendor Compliance.” The HCE provides current compliance status as of the issuance date. The “Certificate of Vendor Compliance,” indicating that the offeror’s status is compliant with the requirements of HRS section 103D-301(c), will be accepted for both contracting purposes and final payment. Vendors that elect to use the new HCE services will be required to pay an annual fee of twelve dollars (\$12.00) to the Hawaii Information Consortium, LLC (HIC). Offerors choosing not to participate in the HCE program will be required to provide the paper certificates as specified above.

#### **4.12 Execution of Contract**

- (a) Subsequent to contract award, HART will present the contract to the successful offeror for execution. The successful offeror shall return the signed contract within ten (10) days from the date upon which the contract was presented for signature by HART, or within such time as HART may otherwise allow.
- (b) The successful offeror shall provide evidence of the required insurance coverages when it returns the signed contract to HART.

#### **4.13 Cancellation of Solicitation**

This solicitation may be cancelled at any time pursuant to the Chief Procurement Officer's determination that cancellation is in the public interest or reasons based on, but not limited to, those set forth in HAR § 3-122-96.

#### **4.14 Public Inspection; Segregation of Confidential Information**

Public inspection will be in accordance with HAR §3-122-58. The existing contract file, **except those portions the offeror designates in writing to be confidential as trade secrets or other proprietary data**, subject to HAR § 3-122-58(b), will be available for public inspection upon posting of the Award pursuant to HRS § 103D-701.

If a person requests to inspect the portions of an offeror's proposal designated as confidential pursuant to HAR § 3-122-46(9), the inspection will be subject to written determination by Corporation Counsel for confidentiality in accordance with HRS Chapter 92F. If Corporation Counsel determines in writing that the material designated as confidential is subject to disclosure, the material will be open to public inspection unless the offeror appeals pursuant to HRS § 92F-42(1).

#### **4.15 Debriefing**

The purpose of a debriefing is to inform the non-selected offerors of the basis for the source selection decision and contract award. A written request for a debriefing shall be made within three (3) working days after the posting of the award of the contract. To the extent practicable, debriefing shall be held by HART within seven (7) working days of the request for the debriefing, provided the Chief Procurement Officer may determine whether to conduct individual or combined debriefings.

#### **4.16 Protests**

Protests shall be made in accordance with HRS § 103D-701 and HAR § 3-122-60. Any protest by a non-selected offeror pursuant to section HRS §103D-701 following a debriefing shall be filed in writing within five (5) working days after the date upon which the debriefing was conducted.

Offerors are hereby notified of their right to appeal to the FTA pursuant to FTA C 4220.1F Chapter VII, Section 1.b.

#### **4.17 Commencement of Work**

Work shall not commence until: (a) the contract has been executed; (b) the Chief Procurement Officer has certified the availability of funds; and (c) and written Notice to Proceed has been issued.



#### **4.18 Suspension and Debarment**

In accordance with 2 CFR §1200 the Offeror is required to verify that none of the offeror's principals, as defined in 2 CFR §180.995, or affiliates, as defined at 2 CFR §180.905, are excluded or disqualified as defined at 2 CFR §§180-945 and 180.935. The offeror is required to comply with 2 CFR §1200, Subpart C, and must include the requirements to comply with 2 CFR §1200, Subpart C, in any lower tier covered transaction it enters into. By signing and submitting its proposal, the offeror certifies to these requirements.

#### **4.19 Conflict of Interest and Non-Disclosure Requirements**

A contractor who was or is being paid for developing or preparing work specifications shall be precluded from submitting an offer or receiving a contract for that particular solicitation in accordance with HRS § 103D-405(d) and HAR § 3-122-13(e).

### **5.0 PREPARATION OF PROPOSALS; SUBMITTAL REQUIREMENTS**

#### **5.1 Proposals Signed by Authorized Personnel**

Each proposal shall be signed in ink by the person legally authorized to do so on behalf of the entity submitting the and pursuant to proof of the authorized person's authority to bind the entity.

#### **5.2 Review of RFP**

It is the responsibility of all offerors to examine the entire RFP and to seek clarification of any requirement that may not be clear and to check all responses for accuracy before submitting a proposal. Negligence in preparing a proposal confers no right of withdrawal after the Proposal Due Date.

#### **5.3 Proposal Due Date**

As specified above, proposals must be submitted to HART by **no later than 2:00 p.m. HST on December 1, 2015**. The proposals shall be enclosed in sealed containers, marked clearly with the RFP number. Late submittals will not be accepted. It is the responsibility of the offeror to ensure that its proposal is delivered at the location indicated below by the Proposal Due Date.

#### **5.4 Submittal Location**

Proposals shall be delivered to the following address:

HART Chief Procurement Officer  
Attn: Procurement Division  
RFP-HRT-918006  
Honolulu Authority for Rapid Transportation  
1099 Alakea Street, Suite 1700  
Honolulu, Hawaii 96813

Submittals by facsimiles are not acceptable and shall not be considered.

## **5.5 Format, and Quantities**

See ITO Exhibit 2 for Proposal format. Offerors shall provide one (1) original and four (4) copies of the proposal and appendices thereto. The signed original copy is to be identified as the “Original” on the cover and marked as “Copy 1 of 5.” All copies shall be provided in loose-leaf, 3-ring binders, with the three appendices placed in a separate 3-ring binder. Each copy should be identified on the cover(s) as “Copy # of 5.” Proposals are to be written in English, minimum 12-point font, and printed on 8-1/2” x 11” paper; any larger sheets should be folded to that size. Pages are to be consecutively numbered.

## **5.6 Organization of Proposal**

Offerors are to follow the outline format provided in Exhibit 2 when preparing and organizing their proposals. All exhibits identified in ITO Exhibit 2 shall be submitted with the proposal. Specific content requirements for each section of the proposal and the corresponding evaluation points are described below.

## **6.0 PROPOSAL REQUIREMENTS, EVALUATION CRITERIA AND EVALUATION POINTS**

### **6.1 Cover Letter**

Offerors shall provide a 1-2 page letter indicating their desire to be considered for the RFP and stating the official names and roles of all Principal Participants, and known subcontractors. Offerors shall identify a single point of contact and the address, telephone and fax numbers, and email address to which questions should be directed. Authorized representatives of the offeror's organization shall sign the letter. ITO Exhibits 3 and 4 shall be attached to the proposal cover letter.

### **6.2 Organizational Eligibility (Section 1)**

Requirements and information to be provided in Section 1 of the Proposal are:

- (a) Organizational Information, as identified on ITO Exhibit 5;
- (b) If a partnership or corporation, submit ITO Exhibit 6;
- (c) Principal Participant certification on ITO Exhibit 7 for each Principal Participant covering the last five years;
- (d) If a Joint Venture, Limited Liability Company, or Partnership:
  - (1) Identity of the lead Principal Participant of the entity, if any;
  - (2) Indicate the equity share percentage held by each member;
  - (3) Include an express statement from each of the equity members of the entity to confirm their joint and several liability; and

- (4) Identify full details of the organizational structure.
- (e) Certificate Regarding Lobbying on ITO Exhibit 11;
- (f) Bidder Registration Form on ITO Exhibit 14; and
- (g) Requirements and information to be provided in Appendix A to the Proposal:
  - (1) Notarized Power(s) of Attorney for each Principal Participant indicating the authority of the Principal Participant's representative to sign for that Principal Participant;
  - (2) Notarized Power(s) of Attorney for each Principal Participant indicating the authority of the offeror's designated point of contact to sign documents for and on behalf of the offeror's organization; and
  - (3) Alternatively, in lieu of the Powers of Attorney, the offeror may submit certified original corporate resolutions for each Principal Participant and the offeror (as appropriate) indicating the authority of the Principal Participant's and/or offeror's designated point of contact to sign documents for and on behalf of the Principal Participant and/or offeror's organization. Such resolutions must be signed by the Secretary of the corporation and contain a corporate seal or notarization.

**6.3 Experience and Professional Qualification of the Offeror Relevant to the Contract (Section 2) (35 Points)**

- (a) Experience and professional qualifications in performing similar financial audits of governmental units:
  - (1) Background and experience of the offeror. Provide description and background information of the offeror, demonstrating that the offeror is qualified to perform the financial services requested. Information should include:
    - (A) Name of the offeror, the address of the principal place of business in Hawaii, and the length of time the offeror has been doing business in Hawaii.
    - (B) The average number of Hawaii employees in the governmental audit section over the past three (3) years.
    - (C) Describe pertinent and unique resources of the offeror that the project team may utilize for the proposed work (i.e., members with specialized expertise, national/international offices, expert panels and resources, databases, etc).
    - (D) Briefly describe the quality control system of the offeror.
    - (E) Provide a copy of the latest external quality review of the offeror and statement whether that review included a review of specific governmental engagements.
    - (F) Disclose whether any Federal or state desk or field reviews have been performed on any of the offeror's government audits during the past three (3) years.
    - (G) Provide any information on any disciplinary action taken or pending against the offeror during the past three (3) years with state regulatory bodies or professional organizations.
    - (H) Provide a copy of the latest audit reports of a governmental entity.

- (2) Financial stability of the offeror:
  - (A) The offeror must provide a credit reference(s).
  - (B) The offeror shall provide its capability to meet the requirements of the Contract specifically with respect to cash and working capital.
  - (C) A copy of the Offeror's most current balance sheet certified by the Offeror to be a "Certified True Copy" shall be enclosed in Section II. If the Offeror wishes for such data to remain confidential, such pages containing the financial data shall be clearly marked "CONFIDENTIAL" on every page that contains confidential data.
- (3) Identification of any Potential Conflicts of Interest:
  - (A) The offeror shall disclose and provide what may be or may be perceived as a potential conflict of interest, the nature of the potential conflict, and whether it can be minimized or mitigated to safeguard the independence of the audits.
  - (B) The offeror shall provide an affirmative statement if there are no potential conflicts of interest.
- (b) Exhibits:
  - (1) Submit Experience on ITO Exhibit 8.
  - (2) Submit Past Performance on ITO Exhibit 10.

#### **6.4 Adequate Qualified Staffing to Complete the Assignment (Section 3) (25 Points)**

- (a) Proposed Auditing Team. The offeror will be evaluated for the proposed auditing team's qualifications to perform the audit work. Please provide the following:
  - (1) State the total number of professionals on the offeror's proposed audit team and each person's name. Identify each person's current standing as a certified public accountant in Hawaii and the credential to perform government financial audits.
  - (2) Specify the proposed scope of work and number of work hours for HART's annual financial audit and total number of hours to be worked on the annual financial audit by all team members.
  - (3) Identify the person who shall serve as the Project Manager in charge of coordinating the engagement and list qualifications to serve in that capacity.
  - (4) Identify the person who shall serve as designated alternate to the Project Manager and list qualifications to serve in that capacity.
  - (5) Identify a person who shall serve as the primary contact person with HART. The person may be the Project Manager or designated alternate, but if another person is selected, that person's qualifications to serve in this capacity shall be listed.
  - (6) The proposed Project Manager and alternate must be employed by the offeror as full-time certified public accountants, who have been licensed to practice public accountancy in the State of Hawaii, and possess a current permit for the same. The proposal shall state the length of time the Project Manager and alternate have been licensed to practice public accountancy in the State of Hawaii and shall affirm that the permit to practice public accountancy in the State of Hawaii will be held for the term of the contract and that the Project Manager and alternate will be assigned to the offeror's Oahu office for the contract.

- (7) The offeror's description of the qualifications of the proposed Project Manager's and alternate's experience shall include a listing of the following personally completed or directly supervised audit engagement:
  - i) Limited general audits of governmental propriety and/or enterprise funds in conformance with generally accepted government auditing standards, examining the financial statements, internal control structure, and compliance with laws and regulations pertaining to the use of funds.
  - ii) Single audits of federal financial assistance programs of a government agency in conformance with the Federal Single Audit Act of 1984 and pertinent U.S. Office of Management and Budget (OMB) Circulars.
  - iii) Limited general audits of governmental entities in conformance with generally accepted government auditing standards that required a total of at least one thousand (1,000) work hours which may be the same or similar to (i) and (ii) above.
  - iv) For each of the qualifying audit engagements noted in (i), (ii) and (iii), reference contract information, report date, the number of professionals in the audit work team, and whether the report was personally completed by the subject person, or completed under the direct supervision of the subject person.
  - v) For evaluation purposes only, copies of qualifying reports for (i), (ii) and (iii) shall be provided for review with the submitted proposal.
- (8) For each person who shall serve as an audit team member, list the role assigned and qualifications to service in the capacity.

(b) Submit Key Personnel Information on ITO Exhibit 12.

#### **6.5 Ability to Complete the Work in a Timely Manner (Section 4) (20 Points)**

Offerors shall provide a preliminary work plan addressing the offeror's proposed approach for the following:

- (a) The extent to which the proposal addresses and satisfies the scope of the work.
- (b) All work elements are addressed and resources necessary to complete the scope of work.
- (c) Access the offeror's ability to complete the work in a timely manner.

#### **6.6 Price Proposal (Section 5) (20 Points)**

- (a) Provide pricing in all the required fields in ITO Exhibit 9.
- (b) Proposals shall include any and all applicable taxes.
- (c) The Grand Total price of the proposal shall be considered the cost factor for evaluation purposes under HAR § 3-122-52(d).

(d) Submit Certificate of Current Cost or Pricing Data on ITO Exhibit 13.

## **7.0 INSURANCE**

Offerors shall obtain and maintain insurance in the amounts and kinds specified in the General Terms and Conditions of Professional Services, as may be amended by the Special Provisions.

## **8.0 ACCEPTANCE OF TERMS AND CONDITIONS**

By submitting a proposal, an offeror expressly agrees to all of the terms, conditions, provisions, and requirements set forth in this RFP and the General Terms and Conditions of Professional Services.

## **9.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) CONTRACT GOAL**

HART has established an overall DBE goal of 13.00% for the duration of this contract and a separate contract goal has not been established for this procurement.

Reports to HART. The successful offeror shall report its DBE participation obtained through race-neutral means throughout the period of performance. The successful offeror shall submit the "DBE PARTICIPATION REPORT" reflecting payments made by the Contractor to DBE subcontractors in accordance with Attachment A, Section 1.6(p)-(r) of the General Conditions. Payments to the Contractor will not be processed if the DBE PARTICIPATION REPORT is not properly completed and attached. The DBE PARTICIPATION REPORT shall be prepared in the format set forth in Attachment 1.6(a).

## **10.0 NO REIMBURSEMENTS**

HART will not provide any reimbursement for the cost of developing or submitting a proposal in response to this RFP.

**ITO EXHIBITS**

The following exhibits are attached hereto and incorporated herein by reference:

- Exhibit 1 - Offeror's Clarification Request
- Exhibit 2 - Proposal Format
- Exhibit 3 - Acknowledgment of Receipt Request for Proposals, Addenda and Responses to Offeror's Clarification Requests
- Exhibit 4 - Proposal Form
- Exhibit 5 - Offeror's Organization Information
- Exhibit 6 - Information Requested of Partnerships and Corporations
- Exhibit 7 - Principal Participant Certification
- Exhibit 8 - Experience
- Exhibit 9 - Price Proposal Form
- Exhibit 10 - Past Performances
- Exhibit 11 - Certification Regarding Lobbying
- Exhibit 12 - Key Personnel Information
- Exhibit 13 - Certificate of Current Cost or Pricing Data
- Exhibit 14 - Bidder Registration Form

**ATTACHMENTS**

- Sample Agreement
- Special Provisions
- HART General Terms and Conditions for Professional Services (v8/2015)